

4/31/91

SUBJ: NATIONAL AIRSPACE SYSTEM (NAS) IMPLEMENTATION ISSUE PROCESS

1. PURPOSE. This order ~~establishes procedures~~ for the management of the National Airspace System (NAS) Implementation Issue Process. This order also establishes the NAS Implementation Issue Committee (NIIC).

TABLE OF CONTENTS

<u>Par.</u>	<u>Title</u>	<u>Page</u>
1.	Purpose	1
2.	Distribution	1
3.	Definitions	1
4.	Forms and Reports	3
5.	Authority To Change This Order	4
6.	NAS Implementation Issue Committee	4
7.	NAS Implementation Issue Process	4
8.	Organizational Responsibilities	5
10.	NAS Documentation Implementation Procedures	8
11.	Information Only Items	10

2. DISTRIBUTION. This order is being distributed to the branch levels in the Offices of the Associate Administrators for Air Traffic, Airway Facilities, System Engineering and Development, and NAS Development; to the Office of the Director for Mike Monroney Aeronautical Center and to branch levels in the Logistics Center and the Academy; to the Director of the Technical Center and to branch levels in the Engineering, Test, and Evaluation Service; to Regional Air Traffic and Airway Facilities Divisions at the branch level; to Regional Air Traffic NAS Implementation Managers and Airway Facilities NAS Plan Coordinators; to Air Traffic and Airway Facilities' Field Offices.

3. DEFINITIONS. The following is a list of definitions of terms and acronyms that are used in, this document.

a. Implementation. The process of site and facility preparation for new or relocated systems and equipment, their installation, test and phase-over into operation, including Initial Operation Capability (IOC), Operational Readiness Demonstration (ORD), Acceptance by System Maintenance and Air Traffic where required.

Distribution: A-W(AT/AF/SM/ND)-3; A-YZ-1; A-X(AT/AF)-3;
A-Y(AY/LG)-3; A-FAT/FAF-O(STD); ZNS-450; ZNS-451
A-Z(ET)-3

Initiated By: ANS-1110

b. Integration. The management of all assigned resources to physically and functionally bring together all associated elements (projects) necessary for the implementation of a prescribed plan.

c. Issue. A problem that, if **not** solved, will impact the implementation of a **prescribed NAS project**.

d. Routing Symbols. The following routing symbols are used in this order.

- (1) **AAP** Program Director for Advanced Automation
- (2) **AFE** Facility System Engineering Service
- (3) **AHD** Office of Human Resource Development
- (4) **ANA** Program Director for Automation
- (5) **ANC** Program Director for Communications
- (6) **ANN** Program Director for Navigation and Landing
- (7) **ANR** Program Director for Surveillance
- (8) **ANS** **NAS** Transition and Implementation Service
- (9) **ANS-1** Director, **NAS** Transition and Implementation Service
- (10) **ANS-100** Transition Assessment Division
- (11) **ANW** Program Director for **Weather/FSS**
- (12) **ASE** **NAS** System Engineering Service
- (13) **ASM** Systems Maintenance Service
- (14) **ATM** Office of Air Traffic System Management
- (15) **ATP** Air Traffic Rules and Procedures Service
- (16) **ATR** Air **Traf fic** Plans and Requirements Service

e. Acronyms. The following acronyms are used in this ~~order.~~

- (1) **AF** Airway Facilities
- (2) **AMNI** Air Traffic Facilities Assistant Manager for **NAS** Implementation
- (3) **DRR** Deployment ~~Readiness~~ Review
- (4) **HDR** Hardware Discrepancy Reports
- (5) **IOC** Initial ~~Operation~~ Capability
- (6) **NAIS** National Airspace ~~Integrated Logistics~~ Support
- (7) **NAS** National Airspace System
- (8) **NASII** **NAS** Implementation Issue
- (9) **NASP** **NAS** Plan
- (10) **NCP** **NAS Change** Proposal
- (11) **NIIC** **NAS Implementation** Issue Committee
- (12) **NIM** **NAS** Implementation Manager (Regional Air Traffic **NASP** Implementation Manager)
- (13) **ORD** Operational Readiness Demonstration
- (14) **PTR** Problem Trouble Reports
- (15) **RNPC** Regional **NAS** Plan Coordinator (Regional Airway Facilities **NASP** Implementation Coordinator)

4. FORMS AND REPORTS.

a. Forms.

(1) **FAA Form 1820-1, NAS Implementation Issue (NASII) Report.** Local reproduction authorized. See paragraph 10 for documentation procedures, and appendix 1 for a copy of the form.

(2) **FAA Form 1820-2, NAS Implementation Issue (NASII) Closure.** Local reproduction ~~authorized.~~ See paragraph 10 for documentation procedures, and appendix 2 for a copy of the form.

b. Report: **RIS: 1820-1, NAS Implementation Issue (NASII) Report.** Use **FAA Form 1820-1** for this report. See paragraph 10 for documentation procedures.

5. AUTHORITY TO CHANGE THIS ORDER. The Director, **NAS** Transition and **Implementation Service, ANS-1**, may issue changes to this order as necessary to manage the **NAS** Implementation Issue process.

6. NAS IMPLEMENTATION ISSUE COMMITTEE. The **NAS** Implementation Issue Committee (**NIIC**) reviews **NAS** implementation issues and determines the appropriate organization responsible for resolving an issue. An **ANS-100** representative serves as the chairperson. The division maintains responsibility for forwarding the issue to the appropriate organization for resolution. The committee membership consists of representatives from several headquarters organizations. Paragraphs 7 and 9, respectively, contain activities of the committee and identify the organizations that make up the membership.

7. NAS IMPLEMENTATION ISSUE PROCESS.

a. Introduction. The large number of **NAS** transition steps that must be taken to implement **NAS** projects, while maintaining full air traffic **control** and communication services, will require full coordination across many FAA organizational elements from national to facility level. The methods of resolution of the problems and issues arising during **NAS** project implementation must be addressed through the **NAS** Implementation Issue process described herein. This order formalizes that process and the **NIIC**, already in place. This process has established a communication vehicle addressing **NAS** project implementation problems which cannot be resolved at the regional/field/headquarters **levels** utilizing established policies and procedures.

b. Overview.

(1) The **NAS Implementation** Issue process is initiated when an implementation problem and the resulting issue-(as defined in paragraph 3 of this document) are identified. Prior to the preparation of a **NASII** Report, the originator shall attempt to resolve the problem through locally available procedures within his/her line organization. If the problem is not resolved, the **NASII** Report (see appendix 1) shall be prepared by the individual who identified the problem.

(2) The **NASII Report** shall be forwarded to the **NAS** Implementation Manager (**NIM**) or Regional **NAS** Plan Coordinator (**RNPC**) at the regional office, (where these positions are established, or otherwise the region **designated** representative) through the Air Traffic Facility Assistant Manager for **NAS** Implementation (**AMNI**) or Airway Facilities (**AF**). On-Site Coordinator for his/her facility. If an **AMNI** or **AF** On-Site Coordinator does not exist at the respective facility, the **NASII** Report shall be forwarded through the appropriate line organization to the **NIM** or **RNPC**. The **NIM** or **RNPC** shall verify that the issue cannot be resolved through existing processes, such as the local/regional representatives or the division/program offices at headquarters. The **NIM** or **RNPC** shall then forward the **NASII** Report to the Transition Assessment Division (**ANS-100**) for resolution.

(3) Issues that are initiated at headquarters must be submitted through initiators line organization directly to ~~ANS-100~~, who shall act as the coordinator for these issues.

(4) ~~ANS-100~~ shall log and present the issue to the ~~NIIC~~. The ~~NIIC~~, chaired by ~~ANS-100~~ shall review the issue to determine the proper action organization. ~~ANS-100~~ shall distribute the issue to that appropriate action organization, track the resolution process, and receive proposed closure from the action organization.

(5) Closure is achieved in one of two ways: (1) a ~~NASII~~ Closure Form (see appendix ~~Z~~), stating the resolution has been submitted to, and accepted by, the originating organization or, (2) a ~~NASII~~ Closure Form identifying a ~~NAS~~ Change Proposal (~~NCP~~) that was developed to resolve this issue is submitted to, and accepted by ~~ANS-100~~.

c. Purpose of Process. The purpose of the ~~NAS~~ Implementation Issue process is to establish a communication and coordination vehicle for addressing implementation problems and related issues which cannot be resolved through the regional/field/headquarters processes. The process also provides for a formalized path to the associate administrator level, elevating ~~implementation~~ problems when required. Additionally, it provides a vehicle for ~~disseminating~~ information on problems and issues experienced at one site to other sites for evaluation of potential impact within their projects.

d. Scope. Any implementation problems and ~~related~~ issues which do not lend themselves to resolution through established processes such as local procedures, project office coordination, Hardware Discrepancy Reports (~~HDR~~), ~~NCP~~ process, National Airspace Integrated Logistics Support (~~NAILS~~), Deployment Readiness Review (~~DRR~~) or budget process can be submitted directly, through the ~~NAS~~ Implementation Issue process. Those problems that have been reported directly to Washington headquarters, through established procedures; i.e., Problem Trouble Reports (~~PTR~~) shall not be included in this process and will be resolved through existing channels. Problems may be submitted by individuals regardless of their organizational level. On the other hand, the ~~NAS~~ Implementation Issue process must not be utilized as a means of recycling unsuccessful ~~NCP's~~ or budget ~~item~~ submissions.

8. ORGANIZATIONAL RESPONSIBILITIES.

a, ~~ANS-1~~ is responsible for the management of the ~~NAS~~ Implementation Issue process ~~and the~~ preparation and refinement of the ~~NAS~~ Implementation Issue process directive.

b. ~~ANS-100~~ shall be responsible for the implementation, review, and coordination of the ~~NAS~~ Implementation Issue process. ~~ANS-100~~ shall also be the focal point for issues submitted at headquarters.

c. Headquarters Offices and Services involved in **NAS** Plan implementation should establish focal points for the purpose of serving on the **NIIC** to review and coordinate **NAS** implementation issues.

d. **NIM** or **RNPC** shall be the focal point and be responsible for review, coordination-, and validation of **NAS** implementation issues and resolutions for their respective regional and field organizations. That coordination shall include ensuring that affected regional line organizations are aware of, and understand the issues.

9. NAS IMPLEMENTATION ISSUE PROCEDURES

a. Submittal of **NAS** Implementation Issues. When a problem is identified that will impact **NAS** implementation, it shall be brought to the attention of the appropriate line organization as shown on the **NAS** Implementation Issue Process Flow Diagram, see appendix 3. The issue shall be worked using the procedures that are available to that organization, including coordination with other line organizations, headquarters division/program offices, coordination with the regional Transition Oversight Group, if established, and/or submitting **NCP** case files. If the issue cannot be resolved, a **NASII** Report (see appendix 1) must be prepared. This report shall state the problem, impact on **NAS** implementation, background information, such as what action has been taken to resolve the problems) and recommendation for resolution.

(1) If the issue is generated at the facility level, the **NASII Report** shall be provided through the on-site designated representative, an **AMNI** or On-Site Coordinator, if available for that facility. If the issue is generated at the regional level, the **NASII** Report shall be provided through appropriate regional line organizations to the **NIM** or **RNPC**.

(2) The **NIM** or **RNPC** shall validate the merit of the issue, coordinate and ensure that all resources at field/regional levels have been exhausted, with no apparent resolution; prior to forwarding an issue to **ANS-100**. If the issue cannot be resolved, the **NIM** or **RNPC** shall forward it to **ANS-100** in a report format as described above. **ANS-100** shall ensure that any issue relating to requirements, not previously supported by baselined documentation, be validated by the appropriate headquarters line organization division office.

(3) If the issue is generated at headquarters, the report shall be provided through the appropriate line organization to **ANS-100** for processing.

(4) **ANS-100** shall respond to all submitted issues with a message to the originating **NIM**, **RNPC** or headquarters organization; acknowledging receipt of the issue.

b. Issue Distribution. Within 3 working days, after **ANS-100** receives the **NASII** Report form for processing, it will be distributed, for information, to all **NIM's** and **RNPC's**. The **NIM's** and **RNPC's** shall be responsible for reviewing and

disseminating the issue within his/her regional organization, including field sites. The **NIM's** and **RNPC's** shall respond (within 3 weeks) back to **ANS-100** as to possible impacts and/or information that would be pertinent to the resolution of the issue, as applicable.

(1) After the issue has been logged into the system it shall be presented to the **NIIC**. The **NIIC**, chaired by **ANS-100**, should consist of representatives at the division level from each of the following organizations: **AAP, AFE, AHD, ANA, ANC, ANN, ANR, ANS, ANW, ASE, ASM, ATM, ATP, and ATR**. This group shall meet on a regular basis and review new issues, determine the action organization, review the status of active issues and elevate the issue(s) that need higher level management decision.

(2) The issues are then distributed as a package to the appropriate headquarters division manager for resolution. The issue package consists of a memorandum of transmittal, the **NASII** Report, background information and a blank **NASII** Closure Form. If an issue is TIME CRITICAL, **ANS-100** shall directly assign it to an action organization and distribute the issue as applicable.

c. Issue Resolution and Closure. The assigned action organization shall review and resolve the issue using the standard operating procedures that are available to that organization. A schedule to accomplish the resolution shall be developed and provided to **ANS-100** by the action organization. This schedule shall be coordinated with the originator to determine possible impact. If the issue is a regional issue the action organization shall coordinate any proposed or interim resolution with the **NIM** or **RNPC**, or through the **NIM** or **RNPC** to the originator. The **NIM** or **RNPC** shall advise **ANS-100** as to the acceptability of the resolution. If the issue is a headquarters issue the action organization shall coordinate any proposed or interim resolution with **ANS-100**, or through **ANS-100** to the originator.

(1) When the proposed resolution is complete, the assignee shall prepare a closure statement on the **NASII** Closure Form (see appendix 2). The form shall then be signed by the action organization division manager and forwarded to **ANS-100**. **ANS-100** shall distribute the completed closure form to the originating **NIM, RNPC** or headquarters organization. Within 30 days of receipt of the resolution the originating **NIM, RNPC** or headquarters organization must inform **ANS-100** that the resolution is acceptable, or unacceptable.

(2) If the resolution is acceptable, the **NIM, RNPC** or headquarters organization shall indicate concurrence by a message to **ANS-100**. **ANS-100** shall forward copies of resolution description and concurrence to all **NIM's, RNPC's**, and appropriate headquarters organizations.

(3) If the resolution is unacceptable, the nonconcurrence message from the originating **NIM, RNPC**, or headquarters organization shall be concise and state the specific reason(s) why the resolution is unacceptable. The disputed resolution shall be handled on an ad hoc basis by the **NIIC**.

(4) If an issue cannot be resolved, either in a timely or technical manner, the **NIIC** shall present it to **ANS-1** to be elevated to the director or associate administrator level, as applicable.

(5) Upon an issue having been elevated to the extent that an **NCP** is prepared for processing, the issue shall be considered resolved and a **NASII** Closure Form shall be prepared. This closure shall list the actions taken and the proposed resolution via the **NCP**.

(6) When the **NCP** number is affixed to the closure form, the form is signed by **ANS-100** and the issue removed from the Issue Status Log. Tracking of the **NCP** shall be the responsibility of the issue initiator.

d. Issue Tracking. An issue number shall be assigned to an issue when the issue is documented on the **NASII** Report. This number shall consist of the regional designator (**AXX**) followed by five digits for regional issues or a headquarters designator (**AHQ**) followed by five digits for headquarters issues. This number shall be assigned by the **NIM** or **RNPC** for regional issues and by **ANS-100** for headquarters issues; This number will be used to reference an issue in all tracking activities.

(1) After the issue has been logged in by **ANS-100**, it shall be tracked by **ANS-100** until the issue is closed. **ANS-100** shall use the **NAS** Implement&on Issues Status Log to provide status for all issues until they are closed. If an issue is not on this log, it is not open.

(2) The log shall be provided on a monthly basis to all **NIM's**, **RNPC's**, and appropriate headquarters organizations.

10. DOCUMENTATION PROCEDURES. ,

a. Preparation of the **NASII** Report. The original **NASII** Report shall be prepared by the originator from the region, field facility or headquarters. Regions and field facilities shall forward issues through the **NIM** or **RNPC**. Headquarters personnel shall forward their issues through their supervisor for submission to **ANS-100**. If additional information needs to be provided, relating to an issue that has been previously submitted, it can be provided to **ANS-100** as a supplement to the original issue. The information shall be identified with the appropriate issue title and issue number. Additionally, the issue can be withdrawn anytime, at the originator's discretion, by informing **ANS-100** of its withdrawal, and giving an explanation for the withdrawal. That explanation for issue withdrawal shall be included on the **NASII** Closure Form.

(1) Issue Number will be the number assigned by the **NIM**, **RNPC** or **ANS-100** for each new issue. No duplication of numbers shall be permitted. Withdrawn issues will retain the number assigned when originally entered into the issue process. The number shall consist of the regional or headquarters designator followed by a five digit number, (**AXX00000**).

(2) Date shall be the date when the issue is submitted by the **NIM, RNPC** or **ANS-100.** —

(3) Point of Contact shall be the **NIM, RNPC** or **ANS-100.**

(4) Telephone is the telephone number at which the point of contact can be reached.

(5) Need Date is a realistic estimate of the date that the issue needs to be **resolved.**

(6) Title shall identify the issue in the spaces that are allotted on the form.

(7) Description of Proposed Issue shall be a concise statement of the **issue.**

(8) Possible Impact is the consequence if the issue is not resolved, This should be stated in terms of cost, operational or schedule impact, and any other information to support the impact statement.

(9) Initiator's Recommendation for Resolution. ~~The initiator~~ may provide a suggested resolution.

(10) Background should be any **information** which will preclude duplication of effort in the resolution of the issues. Items such as people who have been contacted, messages that have been sent, case files or **NCP's** that have been prepared and other information which can be helpful in expediting the resolution.

b Preparation of the **NASII Closure** Form. This form is the official copy for signature and closure of an **issue.** The purpose of this form is to document the closure resolution agreed to by the responsible individuals. The original of the form shall be retained in the **casefile by ANS-100.**

(1) Issue Number is the same number which was on the original **NASII** Report form.

: (2) Title is the same title which was on the original **NASII** Report.

(3) Organization Assigned **Disposition** Action is the FAA office which is responsible for the closure of the issue.

(4) Closure Description shall briefly summarize what action was taken to close the issue. For example, if there was an **NCP** initiated then that **NCP** shall be specifically cited.

(5) Division Manager's Signature and Date is the signature and date when the action organization division manager approved the result.

4/3/91

c. Preparation of the Issue Status Log This log is prepared monthly by **ANS-100**, and distributed using a standard distribution list. Only those issues which are open shall be included on the report. The exception is, that if the issue has been closed, it will be carried for **one** publication and then it shall be discontinued from the report. If an issue is not on the report and an individual desires to ascertain the status of that issue, that person may contact **ANS-100**.

(1) As of is the date that the report is prepared,

(2) Issue Number is the same number that appears on the **NASII** Report.

(3) Date Submitted is the date on the. **NASII** Report,

(4) Action Organization is the FAA program office which is responsible for the closure of the issue, This same office symbol shall be included on the status.


(5) Administrative Status is a summarized description of the part of the process that the issue is currently in. It is displayed as a code number as follows: **0)** the issue is pending assignment or is on hold; **1)** the issue is pending a plan of action; **2)** resolution to the issue is in process; and **3)** the issue is out for regional and/or headquarters coordination and closure', . ; concurrence.

(6) Promise Date is the date that has been assigned- as the planned completion ~~date for~~ the part of the process that the issue- is. in, as indicated by the Administrative **Status**. A new promise date shall be **established** when the issue enters into the next phase of the process. .

This date shall not exceed the **NEED DATE** on the **NASII Report**, unless the date has been coordinated with the appropriate **NIM**, **RNPC**, or headquarters organization.

(7) Title is a title for the **issue**.

11. INFORMATION. ONLY ITEMS. Dissemination of information will continue to be of maximum benefit to the implementation of the **NAS** projects. **Therefore**, distribution of **INFORMATION ONLY** items to **ANS-100** and other FAA organizations is encouraged, Such **items** shall be clearly annotated as **INFORMATION ONLY**. **ANS-100's** receipt of **INFORMATION ONLY** items shall be acknowledged within 7 days by way of a message or **note forwarded to the originator**. Copies of the **INFORMATION ONLY** items shall be sent to all **NIM's**, **RNPC's**, and appropriate headquarters organizations.


Arnold Aquilano
Associate Administrator
for Airway Facilities

APPENDIX 1

NAS Implementation Issue Report

(Form. on following page)

NAS IMPLEMENTATION ISSUE (NASH) REPORT

Issue Number:	Point of Contact:	Date:
Telephone:	Title:	Need Date:

Description of Proposed Issue:

Possible Impact:

Provide Initiator's Recommendation for Resolution:

Background:

APPENDIX 2

NAS Implementation Issue Closure

(Form on following page)

NAS IMPLEMENTATION ISSUE (NASII) CLOSURE

Issue Number:

Title:

Organization Assigned
Disposition Action:

Closure Description:

Division Manager's Signature:

Date:

APPENDIX 3

NAS Implementation Issue Process Flow Diagram

NAS IMPLEMENTATIONTM ISSUE PROCESS

